



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Re application of: Stéphanie Marie-Julie JETTE *et al*

Serial No: 09/915,363 Art Unit: 2874
Filed: July 27, 2001 Examiner: N/A
Subject: Optical Waveguide Filters

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THE COMMISSIONER OF PATENTS AND TRADEMARKS
WASHINGTON, D.C. 20231, U.S.A.

INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR 1.97(b)

Sir:

To comply with applicants' duty of disclosure under 37 CFR 1.56, Form PTO-1449, listing documents known to applicant, is submitted herewith.

- ☒ Copies of the listed documents are enclosed.
- ☐ This is a continuing application and copies of the documents were submitted in respect of the parent application No.

Relevance of information not in English - 37 CFR 1.98(a)(3)


- ☐ To comply with 37 CFR 1.98(a)(3), EITHER a copy of US patent number is submitted herewith, such US patent being cited in a family of patents corresponding to patent number listed in the form PTO 1449. OR an English language abstract is appended to ... patent No. (document...)
- ☒ Document DE 42 40 707 (Siemens AG) was cited as "Background" in respect of a related international patent application. An English language abstract is appended to German patent No. 42 40 707.
- ☐ The relevance of is discussed in the specification.

The submission of any document herewith, which is not a statutory bar, is not intended as an admission that such document constitutes prior art against the claims of the present application. Applicant does not waive any rights to take any action which would be appropriate to antedate or otherwise remove as a competent reference any document which is determined to be a *prima facie* prior art reference against the claims of the present application.

Applicant respectfully requests that the listed documents be considered by the Examiner and be made of record in the present application and that an initialled copy of form PTO-1449 be returned in accordance with MPEP Sec. 609.

The Commissioner is hereby authorized to charge any fee required to Deposit Account No. 20-0771.

Respectfully submitted


THOMAS ADAMS
Reg. No. 31078

DATE: 25 April 2002

P.O. Box 11100, Station H
Ottawa, Ontario
Canada. K2H 7T8
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Docket No. AP875US

Complete if Known

Application Number	09/873,445
Filing Date	July 27, 2001
First Named Inventor	Stéphane Marie-Julie JETTE
Group Art Unit	2874
Examiner Name	n/a
Attorney Docket Number	AP875US

(use as many sheets as necessary)

Sheet	1	of	3
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Examiner Signature		Date Considered	
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¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449B/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet **2** of **3**

Complete if Known

Application Number	09/915,363
Filing Date	July 27, 2001
First Named Inventor	Stéphanie Marie-Julie JETTE
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Attorney Docket Number	AP875US



OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
	7	TREDICUCCI, A. et al, "Single-Mode Surface-Plasmon Laser", Applied Physics Letters, vol. 76, no. 16, p. 2164, 2000
	8	BERINI, P., "Plasmon-Polariton Waves Guided by Thin Lossy Metal Films of Finite Width: Bound Modes of Symmetric Structures", Physical Review B, vol. 61, no. 15, p. 10484, 2000
	9	CHARBONNEAU, R. BERINI, P. et al, "Long-Range Plasmon-Polariton Wave Propagation in Thin Metal Films of Finite-Width Excited Using an End-Fire Technique", Proceedings of SPIE, vol. 4087, p. 534, 2000
	10	BERINI, P. "Plasmon-Polariton Modes Guided by a Metal Film of Finite Width Bounded by Different Dielectrics", Optics Express, vol. 7, no. 10, p. 329, 2000
	11	BERINI, P. "Plasmon-Polariton Modes Guided by a Metal Film of Finite Width", Optics Letters, vol. 24, no. 15, p. 1011, 1999
	12	CHARBONNEAU, R., BERINI, P. "Experimental Observation of Plasmon-Polariton Waves Supported by a Thin Metal Film of Finite Width", Optics Letters, vol. 25, no. 11, p. 844, 2000
	13	BERINI, P. "Plasmon-Polariton Waves Guided by Thin Lossy Metal Films of Finite Width: Bound Modes of Asymmetric Structures", Physical Review B, vol. 63, 125417-2001
	14	BOARDMAN, A.D., Editor. "Electromagnetic Surface Modes. Wiley Interscience, 1982
	15	PREGLA, R., PASCHER, W. "The Method of Lines", Numerical Techniques for Microwave and Millimeter-Wave Passive Structures. Wiley Interscience, 1989. T. ITOH Editor
	16	BERINI, P., WU, K. "Modeling Lossy Anisotropic Dielectric Waveguides with the Method of Lines", IEEE Transactions on Microwave Theory and Techniques, vol. MTT-44, No. 5 (May 1996) pp. 749-759
	17	BERINI, P. STOHR, A., WU, K., JAGER, D. "Normal Mode Analysis and Characterization of an InGaAs/GaAs MQW Field-Induced Optical Waveguide Including Electrode Effects", Journal of Lightwave Technology vol 14 no 10 (October 1996) pp 2422-2435

Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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Sheet 3 of 3

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Attorney Docket Number	AP875US



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Examiner Initials [*]	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	18	YEH, POCHI. "Optical Waves in Layered Media ", Wiley, 1988	
	19	VINOGRADOX, A.V. "X-Ray and Far UV Multilayer Mirrors: Principles and Possibilities", Applied Optics, vol. 16, no. 1, p. 89, 1977	
	20	GLYTSIS E N et al "High -Spatial-Frequency Binary and Multivelvel Stairstep Gratings: Polarization-Selective Mirrors and Broadband Antireflection Surfaces" Applied Optics, Optical Society of America, washington US vol.31 no. 22	
	21	LIU J. et al " Infrared Quarter-Wave Reflector Retarders Designed with High-Spatial-Frequency Dielectric Surface-Relief Gratings on Goldsubstrate at Oblique Incidence" Applied Opticsa, Optical Society of America, Washington US Vol.35, no 28	
	22	LOH W H et al "Sampled Fiber Grating Based-Dispersion Slope Compensator" IEEE Photonics Technology Letters, IEEE Inc. New York, US, vol 11, no. 10, October 1999	

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